

*Dear Client:*

*As required by the Financial Industry Regulatory Authority (FINRA), all securities firms must have a Business Continuity Plan in place and must provide their clients with a summary of this plan upon the opening of an account as well as upon written request from you.*

*Please be aware that our Business Continuity Plan is subject to change and we will notify you of any changes.*

*Please contact us if you have any questions.*

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235 Everett St., P.O. Box 2528  
East Peoria, IL 61611  
309-699-6786  
800-732-8601*

*Member FINRA/SIPC*

## **Summary of Business Continuity Plan**

In the event of a business disruption, we will attempt to operate business as usual. If necessary, we will move our business to an established, temporary location. We have back-up records on file and we will also seek the assistance of our clearing firm and/or mutual fund companies to ensure our client's accounts are well maintained. We will inform our clients of a business disruption by posting it to our company website.

The following are possible scenarios that may take place and how we intend to respond.

In case of a firm only business disruption:

We will continue normal business operations as well as can be expected. If necessary, we will conduct business from an alternative location and you will be able to contact us at that location. We will notify our clients via our website of any disruption in our business and where and how we can be contacted.

In case of a city-wide business disruption:

We will move our business operations to our alternative location outside of the city and continue normal business activities as well as can be expected. We will notify our clients via our website of any disruption in our business and where and how we can be contacted.

In case of a regional business disruption:

As we have no offices outside of this region, we will notify our clients via our website of the regional business disruption and advise our clients to call National Financial Services at 617-563-5977 directly and/or the mutual fund company with whom the client does business.

In case we are unable to conduct business because of a severe business disruption, whether it is firm-only, city-wide, or regional:

We will advise our clients to contact National Financial Service directly at 617-563-5977 and/or the mutual fund company with whom you do business.